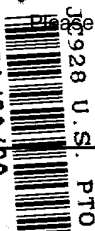


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928 U.S. PTO

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**UTILITY
PATENT APPLICATION
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.

10652-005-999

Total Pages

First Named Inventor or Application Identifier

Robert G. Tryon, III; METHOD AND APPARATUS FOR
PREDICTING FAILURE IN A SYSTEM

Express Mail Label No.

EL 452 482 074 US

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form
Submit an original, and a duplicate for fee processing)
2. ☒ Specification [Total Pages 34]
(preferred arrangement set forth below)
-Descriptive title of the Invention
-Cross Reference to Related Applications
-Statement Regarding Fed sponsored R&D
-Reference to Microfiche Appendix
-Background of the Invention
-Brief Summary of the Invention
-Brief Description of the Drawings (if filed)
-Detailed Description of the Invention (including drawings, if filed)
-Claim(s)
-Abstract of the Disclosure
3. ☒ Drawing(s) (35 USC 113) [Total Sheets 11]
4. ☒ Oath or Declaration (unsigned) [Total Sheets 2]
a. ☐ Newly executed (original or copy)
b. ☐ Copy from a prior application (37 CFR 1.63(d))
(for continuation/divisional with Box 17 completed)
[Note Box 5 below]
i. ☐ DELETION OF INVENTORS(S)
Signed statement attached deleting inventor(s) named in the prior
application, see 37 CFR 1.63(d)(2) and 1.33 (b).
5. ☐ Incorporation By Reference (useable if Box 4b is checked)
The entire disclosure of the prior application, from which a copy of the oath
or declaration is supplied under Box 4b, is considered as being part of the
disclosure of the accompanying application and is hereby incorporated by
reference therein.

6. ☐ Microfiche Computer Program (Appendix)
7. ☐ Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)
a. ☐ Computer Readable Copy
b. ☐ Paper Copy (identical to computer copy)
c. ☐ Statement verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

8. ☐ Assignment Papers (cover sheet & document(s))
9. ☐ 37 CFR 3.73(b) Statement ☐ Power of Attorney
(when there is an assignee)
10. ☐ English Translation Document (if applicable)
11. ☐ Information Disclosure ☐ Copies of IDS
Statement (IDS)/PTO-1449 Citations
12. ☐ Preliminary Amendment
13. ☒ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
14. ☐ Applicant claims Small Entity status, see 37 C.F.R. § 1.27
15. ☐ Certified Copy of Priority Document(s)
(if foreign priority is claimed)
16. ☐ Other:

17. If a **CONTINUING APPLICATION**, check appropriate box and supply the requisite information:
☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No: filed .

18. CORRESPONDENCE ADDRESS

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PENNIE & EDMONDS LLP
COUNSELLORS AT LAW
3300 Hillview Avenue
Palo Alto, CA. 94304

ATTORNEY DOCKET NO. 10652-005-999

Date: January 8, 2002

Assistant Commissioner for Patents
Box PATENT APPLICATION
Washington, D.C. 20231

Sir:

The following utility patent application is enclosed for filing:

Applicant(s): Robert G. Tryon, III; Animesh Dey; and A. Loren Nasser Executed on: (unsigned)

Title of Invention: METHOD AND APPARATUS FOR PREDICTING FAILURE IN A SYSTEM

PATENT APPLICATION FEE VALUE

| TYPE | NO. FILED | LESS | EXTRA | EXTRA RATE | FEE |
|---|-----------|------|-------|--------------|-------------|
| Total Claims | 64 | -20 | 44 | \$18.00 each | \$ 792.00 |
| Independent | 3 | -3 | 0 | \$84.00 each | \$ 0.00 |
| Minimum Fee | | | | | \$ 740.00 |
| Multiple Dependency Fee If Applicable (\$280.00) | | | | | \$ 0.00 |
| Total | | | | | \$ 1,532.00 |
| Applicant qualifies for the 50% Reduction for Independent Inventor, Nonprofit Organization or Small Business Concern | | | | | - \$ 766.00 |
| Total Filing Fee | | | | | \$ 766.00 |

- ☐ **DO NOT PUBLISH.** I hereby certify that the invention disclosed in the attached application **has not and will not be** the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing. I hereby request that the attached application not be published under 35 U.S.C. 122(b).
- ☒ Priority of application no. 60/260,449 filed on January 8, 2001 in the United States is claimed under 35 U.S.C. § 119.
- ☐ The certified copy of the priority application has been filed in application no. filed
- ☐ Amend the specification by inserting before the first line the following sentence: This is a continuation-in-part of application no. filed .

Please charge the required fee to Pennie & Edmonds LLP Deposit Account No. 16-1150. A copy of this sheet is enclosed.

Respectfully submitted,
Francis E. Morris

Francis E. Morris
PENNIE & EDMONDS LLP

24,615
(Reg. No.)

Enclosures

This form is not for use with continuation, divisional, re-issue, design or plant patent applications.